



USSN: 10/055,713
Dkt. No.: 8325-0026
S26-US1

PATENT

CERTIFICATE OF MAILING PURSUANT TO 37 CFR § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on **June 9, 2005**.

06/09/05
Date

Michelle Hobson
Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

JAMIESON et al.

Serial No.: 10/055,713

Filing Date: January 22, 2002

Title: ZINC FINGER PROTEINS FOR DNA
BINDING AND GENE REGULATION IN
PLANTS

Examiner: C. Collins

Group Art Unit: 1638

Confirmation No.: 6239

Customer No.: 20855

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(b)**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,
Applicant(s) hereby submits the following information in conformance with 37 C.F.R.
§§1.97 and 1.98.

- ☒ Pursuant to 37 C.F.R. §1.98, a copy of all the publications cited in the attached Form PTO/SB/08 are enclosed.
- ☐ No copy of the publication _____ listed on the attached Form PTO/SB/08A are being provided because the Office waives the requirement under 37 C.F.R. 1.98 (a) (2) (i) for submitting a copy of each cited U.S. patent and each U. S. patent application publication for all U.S. national patent applications filed after June 30, 2003

- ☐ No copies of the publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. _____ to which the above-identified application claims priority under 35 U.S.C. §120.
- ☐ Publication(s) _____ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to PCT application serial no. _____ and mailed on _____.
- ☐ Enclosed is a copy of a non-English publication(s) _____. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is a copy of a non-English publication(s) _____. English language publication _____ (copy enclosed) claims priority from this non-English publication.
- ☐ Enclosed is an explanation of non-English publication(s) _____ for which an English translation is not available.
- ☐ Enclosed is an English translation of non-English publication(s) _____ cited in the attached Form PTO/SB/08A.
- ☐ Enclosed is a copy of pending patent Application Serial No. _____.

This Information Disclosure Statement is filed within any one of the following time periods:

- ☐ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in this international application;
- ☒ before the mailing date of a first office action on the merits; or
- ☐ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. §1.114.

This Information Disclosure Statement under 37 CFR § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

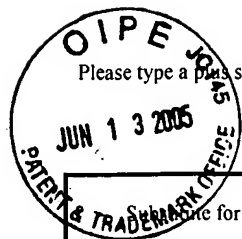
It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Respectfully submitted,

Date: June 9, 2005

By: 
Dahna S. Pasternak
Registration No. 41,411

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PTO/SB/08A (08-00)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				<i>Complete if Known</i>	
				Application Number	10/055,713
				Filing Date	Jan. 22, 2002
				First Named Inventor	Jamieson et al.
				Group Art Unit	1645
				Examiner Name	
Sheet	1	of	25	Attorney Docket Number	8325-0026

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code ² (if known)		
	A1	4,407,956		Howell	10-04-1983
	A2	4,536,475		Anderson	08-20-1985
	A3	4,684,611		Schilperoort et al.	08-04-1987
	A4	4,945,050		Sanford et al.	07-31-1990
	A5	4,990,607		Katagiri et al.	02-05-1991
	A6	5,096,814		Aivasidis et al.	03-17-1992
	A7	5,096,815		Ladner et al.	03-17-1992
	A8	5,198,346		Ladner et al.	03-30-1993
	A9	5,223,409		Ladner et al.	06-29-1993
	A10	5,243,041		Fernandez-Pol	09-07-1993
	A11	5,302,519		Blackwood et al.	04-12-1994
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	A13	5,324,818		Nabel et al.	06-28-1994
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	A15	5,340,739		Stevens et al.	08-23-1994
	A16	5,348,864		Barbacid et al.	09-20-1994
	A17	5,350,840		Call et al.	09-27-1994
	A18	5,356,802		Chandrasegaran	10-18-1994
	A19	5,376,530		De The et al.	12-27-1994
	A20	5,403,484		Ladner et al.	04-04-1995
	A21	5,436,150		Chandrasegaran	07-25-1995
	A22	5,487,994		Chandrasegaran	01-30-1996
	A23	5,498,530		Schatz et al.	03-12-1996
	A24	5,578,483		Evans et al.	11-26-1996
	A25	5,585,245		Johnsson et al.	12-17-1996
	A26	5,597,693		Evans et al.	01-28-1997
	A27	5,639,592		Evans et al.	06-17-1997
	A28	5,674,738		Abramson et al.	10-07-1997
	A29	5,702,914		Evans et al.	12-30-1997
	A30	5,789,538		Rebar et al.	08-04-1998
	A31	5,792,640		Chandrasegaran	08-11-1998
	A32	5,792,933		Ma	08-11-1998
	A33	5,830,721		Stemmer et al.	11-03-1998
	A34	5,866,121		Coffino et al.	02-02-1999
	A35	5,869,618		Lippman et al.	02-09-1999
	A36	5,871,902		Weininger et al.	02-16-1999
	A37	5,871,907		Winter et al.	02-16-1999
	A38	5,916,794		Chandrasegaran	06-29-1999
	A39	5,939,538		Leavitt et al.	08-17-1999
	A40	5,972,615		An et al.	10-26-1999
	A41	6,001,885		Vega et al.	12-14-1999

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¹ Unique citation designation number.

² See attached Kinds of U.S. Patent Documents.

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		Number	Kind Code ⁴ (if known)		
	A42	6,007,408		Sandhu	12-28-1999
	A43	6,140,081		Barbas	10-31-2000
	A44	6,140,466		Barbas, III et al.	10-31-2000
	A45	6,160,091		Peukart et al.	12-12-2000
	A46	6,207,446	B1	Szostak et al.	03-27-2001
	A47	6,242,568 B1	B1	Barbas, III et al.	06-05-2001

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Office ⁵	Number ⁶	Kind Code		
	B1	EP	0 873 567 *		Basf aktiengesellschaft	04-08-1998
	B2	GB	2,348,424		Sangamo Biosciences, Inc.	04-10-2000
	B3	WO	92/02536		The Regents of the University of Colorado	02-20-1992
	B4	WO	95/11922		Affymax Technologies N.V.	05-04-1995
	B5	WO	95/19431		The Scripps Research Institute	07-20-1995
	B6	WO	96/06110		Ariad Pharmaceuticals, Inc.	02-29-1996
	B7	WO	96/06166		Medical Research Council	02-29-1996
	B8	WO	96/11267		Deutsches Krebsforschungszentrum Stiftung Des Offentlichen Rechts	04-18-1996
	B9	WO	96/20951		Massachusetts Institute of Technology	07-11-1996
	B10	WO	96/32475		University of Washington	10-17-1996
	B11	WO	97/27212		Rigel Pharmaceuticals, Inc.	07-31-1997
	B12	WO	97/27213		The Board of Trustees of the Leland Stanford Junior University	07-31-1997
	B13	WO	98/44350		The Board of Trustees of the Leland Stanford Junior University	10-08-1998
	B14	WO	98/53057		Medical Research Council	11-26-1998
	B15	WO	98/53058		Medical Research Council	11-26-1998
	B16	WO	98/53059		Medical Research Council	11-26-1998
	B17	WO	98/53060		Medical Research Council	11-26-1998
	B18	WO	98/54311		The Scripps Research Institute	12-03-1998
	B19	WO	99/07206		Cornell Research Foundation, Inc.	02-18-1999
	B20	WO	99/16890		University of California	04-08-1999
	B21	WO	99/36553		Ariad Gene Therapeutics, Inc.	07-22-1999

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⁴ See attached Kinds of U.S. Patent Documents.

⁵ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

⁶ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁷ Applicant is to place a check mark here if English language Translation is attached.

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		Office ⁸ Code ¹⁰	Number ⁹	Kind (if known)			
	B22	WO	99/40210		Simmons, et al.	08-12-1999	
	B23	WO	99/41371		Strata Biosciences Incorporated	08-19-1999	
	B24	WO	99/42474		Genome Dynamics, Inc.	08-26-1999	
	B25	WO	99/45132		Massachusetts Institute of Technology	09-10-1999	
	B26	WO	99/47656		Medical Research Council	09-23-1999	
	B27	WO	99/48909		Greisman, Harvey A.	09-30-1999	
	B28	WO	00/23464		Novartis AG	04-27-2000	
	B29	WO	00/27878		Gendaq Limited	05-18-2000	
	B30	WO	00/41566		Sangamo Biosciences, Inc.	07-20-2000	
	B31	WO	00/42219		Sangamo Biosciences, Inc.	07-20-2000	
	B32	WO	00/47775		The General Hospital Corporation	08-17-2000	
	B33	WO	01/83751		Sangamo Biosciences, Inc.	11-08-2001	
	B34	WO	01/83732		Sangamo Biosciences, Inc.	11-08-2001	
	B35	WO	02/066640 A2		Novartis AG	08-29-2002	
	B36	WO	03/016496 A2		The Scripps Research Institute	02-27-2003	

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ¹
	C1	Abel et al., "TRANSIENT TRANSFORMATION OF ARABIDOPSIS LEAF PROTOPLASTS: A VERSATILE EXPERIMENTAL SYSTEM TO STUDY GENE EXPRESSION," Plant Journal, 5: 421-427 (1994)	
	C2	Agarwal et al., "STIMULATION OF TRANSCRIPT ELONGATION REQUIRES BOTH THE ZINC FINGER AND RNA POLYMERASE II BINDING DOMAINS OF HUMAN TFIIS," Biochemistry 30(31): 7842-7851 (1991)	
	C3	Antao et al., "A THERMODYNAMIC STUDY OF UNUSUALLY STABLE RNA AND DNA HAIRPINS," Nuc. Acids. Res. 19(21): 5901-5905 (1991)	
	C4	Barbas, C.F. "RECENT ADVANCES IN PHAGE DISPLAY," Curr. Opin. Biotech. 4: 526-530 (1993)	
	C5	Barbas et al., "ASSEMBLY OF COMBINATORIAL ANTIBODY LIBRARIES ON PHAGE SURFACES: THE GENE III SITE," PNAS 88: 7978-7982 (1991)	

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⁹ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

¹⁰ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

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	C6	Barbas et al., "SEMISYNTHETIC COMBINATORIAL ANTIBODY LIBRARIES: A CHEMICAL SOLUTION TO THE DIVERSITY PROBLEM," PNAS 89: 4457-4461 (1992)		
	C7	Beerli et al., "TOWARD CONTROLLING GENE EXPRESSION AT WILL: SPECIFIC REGULATION OF THE ERBB-2/HER-2 PROMOTER BY USING POLYDACTYL ZINC FINGER PROTEINS CONSTRUCTED FROM MODULAR BUILDING BLOCKS," PNAS 95: 14628-14633 (1998)		
	C8	Beerli et al., "POSITIVE AND NEGATIVE REGULATION OF ENDOGENOUS GENES BY DESIGNED TRANSCRIPTION FACTORS," PNAS 97: 1495-1500 (2000)		
	C9	Bellefroid et al., "CLUSTERED ORGANIZATION OF HOMOLOGOUS KRAB ZINC-FINGER GENES WITH ENHANCED EXPRESSION IN HUMAN T LYMPHOID CELLS," EMBO J. 12(4): 1363-1374 (1993)		
	C10	Berg, J.M., "DNA BINDING SPECIFICITY OF STEROID RECEPTORS," Cell 57: 1065-1068 (1989)		
	C11	Berg, J.M., "SP1 AND THE SUBFAMILY OF ZINC-FINGER PROTEINS WITH GUANINE-RICH BINDING SITES," PNAS 89: 11109-11110 (1992)		
	C12	Berg et al., "THE GALVANIZATION OF BIOLOGY: A GROWING APPRECIATION FOR THE ROLES OF ZINC," Science 271: 1081-1085 (1996)		
	C13	Berg, J.M., "LETTING YOUR FINGERS DO THE WALKING," Nature Biotechnology 15: 323 (1997)		
	C14	Bergqvist et al., "LOSS OF DNA-BINDING AND NEW TRANSCRIPTIONAL TRANS-ACTIVATION FUNCTION IN POLYOMAVIRUS LARGE T—ANTIGEN WITH MUTATION OF ZINC FINGER MOTIF," Nuc. Acid Res. 18(9): 2715-2720 (1990)		
	C15	Bevan et al., "T-DNA OF THE <i>AGROBACTERIUM</i> T ₁ AND R ₁ PLASMIDS," Ann. Rev. Genet. 16: 357-384 (1982)		
	C16	Bevan et al., "BINARY AGROBACTERIUM VECTORS FOR PLANT TRANSFORMATION," Nucleic Acid. Res. 12: 8711-8721 (1984)		
	C17	Bevan et al., "THE STRUCTURE AND TRANSCRIPTION START SITE OF A MAJOR POTATO TUBER PROTEIN GENE," Nucleic Acids Res. 14: 4625-4638 (1986)		

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	C18	Bird et al., "METHYLATION-INDUCED REPRESSION – BELTS, BRACES, AND CHROMATIN," Cell 99: 451-454 (1999)		
	C19	Bitko et al., "PERSISTENT ACTIVATION OF RELA BY RESPIRATORY SYNCYTIAL VIRUS INVOLVES PROTEIN KINASE C, UNDERPHOSPHORYLATED IKBB, AND SEQUESTRATION OF PROTEIN PHOSPHATASE 2A BY THE VIRAL PHOSPHOPROTEIN," J. Virol. 72:5610-5618 (1998)		
	C20	Blackburn, "ENGINEERING AND DESIGN: RATIONAL VERSUS COMBINATORIAL APPROACHES," Curr. Opin. Struct. Biol. 10:399-400 (2000)		
	C21	Blaese et al., "VECTORS IN CANCER THERAPY: HOW WILL THEY DELIVER?" Cancer Gene Therapy 2(4): 291-297 (1995)		
	C22	Bock et al., "SLENEOPROTEIN SYNTHESIS: AN EXPANSION OF THE GENETIC CODE," Trends Biochem. Sci. 16:463-467 (1991)		
	C23	Bonde et al., "ONTOGENY OF THE V-ERBA ONCOPROTEIN FROM THE THYROID HORMONE RECEPTOR: AN ALTERATION IN THE DNA BINDING DOMAIN PLAYS A ROLE CRUCIAL FOR VERBA FUNCTION," J. Virology 65(4): 2037-2046 (1991)		
	C24	Bray, "EXPRESSION OF THE B-SUBUNIT OF B-CONGLYCININ IN SEEDS OF TRANSGENIC PLANTS," Planta 172: 364-370 (1987)		
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	C26	Brogie et al., "LIGHT-REGULATED EXPRESSION OF A PEA RIBULOSE-1,5-BISPHOSPHATE CARBOXYLASE SMALL SUBUNIT GENE IN TRANSFORMED PLANT CELLS," Science 224:838-843 (1984)		
	C27	Caponigro et al., "TRANSDOMINATION GENETIC ANALYSIS OF A GROWTH CONTROL PATHWAY," PNAS 95: 7508-7513 (1998)		
	C28	Celenza et al., "A YEAST GENE THAT IS ESSENTIAL FOR RELEASE FROM GLUCOSE REPRESSION ENCODES A PROTEIN KINASE," Science 233: 1175-1180 (1986)		
	C29	Cheng et al., "IDENTIFICATION OF POTENTIAL TARGET GENES FOR ADR1P THROUGH CHARACTERIZATION OF ESSENTIAL NUCLEOTIDES IN UAS1," Mol. Cellular Biol. 14(6): 3842-3852 (1994)		

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	C30	Cheng et al., "A SINGLE AMINO ACID SUBSTITUTION IN ZINC FINGER 2 OF ADR1P CHANGES ITS BINDING SPECIFICITY AT TWO POSITIONS IN UAS1," J. Mol. Biol. 251: 1-8 (1995)		
	C31	Chern et al., "THE REGULATOR OF MAT2 (ROM2) PROTEIN BINDS TO EARLY MATURATION PROMOTERS AND REPRESSES PVALF-ACTIVATED TRANSCRIPTION," Plant Cell 8: 305-321 (1996)		
	C32	Cho et al., "ANALYSIS OF THE C-TERMINAL REGION OF ARABIDOPSIS THALANIA APETALA1 AS A TRANSCRIPTION ACTIVATION DOMAIN," Plant Mol. Biol. 40:419-429 (1999)		
	C33	Choo et al., "DESIGNING DNA-BINDING PROTEINS ON THE SURFACE OF FILAMENTOUS PHAGE," Curr. Opin. Biotechnology 6: 431-436 (1995)		
	C34	Choo et al., "PHYSICAL BASIS OF PROTEIN-DNA RECOGNITION CODE," Curr. Opin. Struct. Biol. 7(1): 117-125 (1997)		
	C35	Choo et al., "ADVANCES IN ZINC FINGER ENGINEERING," Curr. Opin. Struct. Biol. 10:411-416 (2000)		
	C36	Choo et al., "PROMOTER-SPECIFIC ACTIVATION OF GENE EXPRESSION DIRECTED BY BACTERIOPHAGE-SELECTED ZINC FINGERS," J. Mol. Biol. 273: 525-532 (1997)		
	C37	Choo et al., "IN VIVO REPRESSION BY A SITE-SPECIFIC DNA-BINDING PROTEIN DESIGNED AGAINST AN ONCOGENIC SEQUENCE," Nature 372: 642-645 (1994)		
	C38	Choo et al., "ALL WRAPPED UP," Nature Struct. Biol. 5(4): 253-255 (1998)		
	C39	Choo, Y., "RECOGNITION OF DNA METHYLATION BY ZINC FINGERS," Nature Struct. Biol. 5(4): 264-265 (1998)		
	C40	Choo, Y., "END EFFECTS IN DNA RECOGNITION BY ZINC FINGER ARRAYS," Nuc. Acids. Res. 26(2): 554-557 (1998)		
	C41	Choo et al., "A ROLE IN DNA-BINDING FOR THE LINKER SEQUENCES OF THE FIRST THREE ZINC FINGERS OF TFIIIA" Nuc. Acids Res. 21(15): 3341-3346 (1993)		

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	C78	Ghosh, "A RELATIONAL DATABASE OF TRANSCRIPTION FACTORS," Nucleic Acids Res. 18: 1749-1756 (1990)		
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				First Named Inventor	Jamieson et al.
				Group Art Unit	1645
				Examiner Name	
Sheet	22	of	25	Attorney Docket Number	8325-0026

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T ¹
	C217	Swain W F, "ANTIBODIES IN PLANTS," TIBTECH 9: 107-109 (1991)		
	C218	Swimoff et al, "DNA-BINDING SPECIFICITY OF NGFI-A AND RELATED ZINC FINGER TRANSCRIPTION FACTORS," Mol. Cell. Biol. 15(14): 2275-2287 (1995)		
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	C239	Weissbach & Weissbach, Methods for Plant Molecular Biology, Academic Press, NY, Section VIII, pp. 423-436 (1988)		
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	C248	Wu et al., "BUILDING ZINC FINGERS BY SELECTION: TOWARD A THERAPEUTIC APPLICATION," PNAS 92: 344-348 (1995)		
	C249	Yang et al., "SURFACE PLASMON RESONANCE BASED KINETIC STUDIES OF ZINC FINGER-DNA INTERACTION," J. Immunol. Methods 183: 175-182 (1995)		
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	C254	Zenke et al., "V-ERBA SPECIFICALLY SUPPRESSES TRANSCRIPTION OF THE AVIAN ERYTHROCUTE ANION TRANSPORTER (BAND 3) GENE," Cell 52:107-119 (1988)	
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